

Appendix A

Selected Foundation Funding Sources

(Assets and grant purposes from 2002)

The following foundations were selected for their interest in parks and recreation at the time of this writing. Much of this information has been downloaded directly from the foundation's web sites.

<u>Name (State)</u>	<u>Assets</u>
1. <u>Bill & Melinda Gates Foundation</u> (WA) P.O. Box 23350 Seattle, Washington 98102 Phone: (206) 709-3140 Fax: (206) 709-3252 www.gatesfoundation.org/	\$21,149,088,035

Special Projects Grants

This category is a vehicle for out-of-program grants and annual giving support for organizations and causes of special interest to the Gates family. It is entirely proactive in nature; the foundation does not consider grant requests that fall outside of program guidelines.

2. <u>Ford Foundation</u> (NY) Secretary Ford Foundation 320 East 43 Street New York, New York 10017 Phone: (212) 573-5000 Fax: (212) 351-3677 www.fordfound.org/	\$10,814,696,000
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In **Community Development** we seek to improve the quality of life and opportunities for positive change in urban and rural communities. Our goal is to develop community-based institutions that mobilize and leverage philanthropic capital, investment capital, knowledge and skills, and natural resources in a responsible and fair manner.

In **Environment and Development** we help people and groups acquire, protect and improve land, water, forests, wildlife and other natural assets in ways that help reduce poverty and injustice.

In **Arts and Culture** our goal is to strengthen opportunities for artistic creativity and cultural expression that will generate the hope, understanding, courage and confidence necessary to help citizens fulfill their potential.

3. The Robert Wood Johnson Foundation (NJ) \$9,044,511,000
P.O. Box 2316 College Road
East and Route 1
Princeton, New Jersey 08543
Phone: (888) 631-9989
Fax: (609) 627-6401
www.rwjf.org/index.jsp

In **Community and Family Health**, we seek to improve the health of low-income families through supportive relationships and community resources. Progress indicators under development include those tracking enrollees in after-school programs, links between older and younger people through Experience Corps efforts, the creation of effective family support systems, and the development of new community-generated models for those in need.

Our **Health and Behavior** team is surveying progress in engaging communities in creating activity-friendly environments and increasing the number of organizations serving mid-life and older people with a focus on physical activity change.

4. J. Paul Getty Trust (CA) \$8,793,485,757
Campus Heritage Initiative
The Getty Grant Program
1200 Getty Center Drive, Suite 800
Los Angeles, California 90049-1685
Phone: (310) 440-7320
Fax: (310) 440-7703

Preserve LA
The Getty Grant Program
1200 Getty Center Drive, Suite 800
Los Angeles, California 90049-1685
Phone: (310) 440.7320
Fax: (310) 440-7703

Architectural Conservation Grants
The Getty Grant Program
1200 Getty Center Drive, Suite 800
Los Angeles, California 90049-1685
Phone (310) 440-7320
Fax: (310) 440-7703
www.getty.edu/

Campus Heritage Initiative The Getty Grant Program recently awarded more than \$1.5 million in grants to support the preservation needs of historic buildings, sites, and landscapes on college and university campuses across the United States as part of its Campus Heritage initiative.

New Preserve L.A. Grants Announced The Getty recently awarded nearly \$1.3 million in grants to support the preservation of 17 historic buildings and sites in Los Angeles County as part of its Preserve L.A. initiative. The initiative provides funds to conserve landmark buildings of architectural, cultural, and historical significance.

Architectural Conservation Grants Architectural conservation grants provide national and international support for the preservation of significant, listed historic buildings and sites.

5. The David and Lucile Packard Foundation (CA) \$6,196,520,868
300 Second Street
Los Altos, California 94022 USA
Phone: (650) 948-7658
Fax: (650) 948-5793
www.packard.org/

The **Conservation and Science Program** seeks to protect and restore our oceans, coasts, and atmosphere and to enable the creative pursuit of scientific research toward this goal. The program makes grants to nonprofit organizations, supports the Monterey Bay Aquarium Research Institute, and manages the Packard Fellowships for Science and Engineering.

The **Children, Families, and Communities Program** seeks to provide access to publicly funded, high-quality preschool programs for all three and four-year-olds; to provide access to health insurance for all children that ensures them appropriate health care; and to provide access to after-school programs that promote positive youth development for all elementary and middle school-aged children in California. The program makes grants to nonprofit organizations and supports the Lucile Salter Packard Children's Hospital.

6. W. K. Kellogg Foundation (MI) \$5,719,735,520
One Michigan Avenue East
Battle Creek, Michigan 49017-4058
Phone: (269) 968-1611
Fax: (269) 968-0413
www.wkkf.org

Food Systems and Rural Development The food systems grantmaking focuses on catalyzing efforts that lead to a safe, wholesome food supply for this and future generations while ensuring that food production and food-related business systems are economically viable, environmentally sensitive, sustainable long-term, and socially responsible. The rural development work supports comprehensive, collaborative, and integrative efforts of people, organizations, and institutions that, together, create social and economic opportunities that lead to healthy rural communities and improvement in the lives of rural residents.

Youth and Education Using a holistic, child-centered approach, Youth and Education programs address the preschool through college continuum - ages 0 to 24. The overall goal is to support healthy infant, child, and youth development by mobilizing, strengthening, and aligning systems that affect children's learning. The strategies are: 1) mobilize youth, families, and communities to inform policies that affect learning and achievement for vulnerable children and youth; and 2) forge partnerships between education institutions and communities to promote learning, academic performance, and workforce preparation among vulnerable young people.

7. The Starr Foundation (NY) \$4,781,056,809
70 Pine Street 14th Floor
New York, New York 10270
Phone: (212) 770-5457
Fax: (212) 425-6261
<http://fdncenter.org/grantmaker/starr/>

In the area of culture, the Foundation has made significant grants since its inception both to large cultural institutions such as museums, and to small, community-based groups providing special services to specific populations, such as the elderly and the disabled. The Foundation funds cultural exchange organizations that further Mr. Starr's interest in international relations and understanding. The Foundation rarely funds documentaries or film projects and will not fund individual artists.

8. The Pew Charitable Trusts (PA) \$4,338,580,605
One Commerce Square
2005 Market Street, Suite 1700
Philadelphia, Pennsylvania 19103-7077
Phone: (215) 575-9050
Fax: (215) 575-4939
www.pewtrusts.com/

The mission of the **Environment** program is to promote policies and practices that protect the global atmosphere and preserve old-growth forest, wilderness, and marine ecosystems. Our investments are goal-oriented, and virtually all of the activities we support contain specific benchmarks that enable us to measure progress toward meeting explicit targets.

Director: Joshua S. Reichert 2002: \$39,493,500/31 grants

The **Health and Human Services (HHS)** program is designed to respond to rapidly changing conditions in the health and human service policy environment, both nationally and locally. The national program strives to promote policies and activities that address compelling public issues. The local program supports increased opportunities for disadvantaged individuals and families so that they may improve their ability to function and achieve self-sufficiency. It also helps local nonprofit organizations strengthen their overall capacity to deliver needed services.

Director: Maureen K. Byrnes 2002: \$39,070,000/179 grants

Culture The number, quality, and accessibility of arts activities in this country are greater than ever before, but the ability of the arts to marshal soundly based, consistently growing financial and policy support is fragile. The Culture program aims to strengthen those aspects of nonprofit culture in the United States. In Philadelphia, it selectively advances programs for artists and cultural organizations.

Director: Marian A. Godfrey 2002: \$14,408,000/19 grants

9. The Andrew W. Mellon Foundation (NY) \$4,135,567,000
140 East 62nd Street
New York, New York 10021
Phone: (212) 838-8400
Fax: (212) 223-2778
www.mellon.org/

The **program for art museums** is designed to help excellent institutions build and sustain their capacity to undertake serious scholarship on their permanent collections; to preserve these collections; and to share the results of their work in appropriate ways with scholarly and other audiences.

The **art conservation program** concentrates largely on advanced training for future generations of conservators, but it also undergirds fundamental work in developing fields such as conservation science – an area of increasing importance to conservation as a whole. Both programs, therefore, are engaged in supporting basic research intended to enable curators, conservators, and other professionals to devote intensive study to the objects in their care, and to make their knowledge and professional expertise available to others in new as well as in more traditional ways. In 2000, 21 grants were awarded totaling approximately \$20 million.

Conservation and the Environment Between 1980 and 2002 our program was devoted to basic research on how natural ecosystems work. It emphasized the support of leading institutions, innovative research, and the training of promising doctoral and post-doctoral researchers. We restricted our activities to the United States with occasional support for joint projects with institutions in Latin America and South Africa. Within the broad field of ecosystems research and training, we limited our grants to botany and terrestrial ecosystems because of their key importance within larger systems and because other funding sources pay the least attention to them. We sought what G. Evelyn Hutchinson described in 1943 as “*the point of view of the mind that delights in understanding nature rather than in attempting to reform her.*” A small number of grants are devoted to research on how environmental regulations work and are used in actual practice. We also invest in land preservation, but only through annual general support.

10. The William and Flora Hewlett Foundation (CA) \$3,930,366,990
2121 Sand Hill Road
Menlo Park, California 94025
Phone: 650-234-4500
Fax: (650) 234-4501
www.hewlett.org/

Grants in the **Education Program** should promote long-term institutional or field development, reform, or knowledge development in the program components described below. The Education Program will fund research, development, demonstrations, evaluations, dissemination, and public engagement to accomplish its objectives. An individual grant should develop knowledge usable beyond its boundaries and should add clear and substantial value to accomplishing the goals of a program component.

Public Finance for Land Conservation. Some of the most spectacular and ecologically significant lands needing protection in the West belong to ranchers and other private interests. While land acquisitions are perhaps the most permanent way to protect private land from development, the philanthropic leverage of this type of investment can be small. An encouraging recent trend has been the development of public policies encouraging and at times paying for private conservation, ranging from public funds for conservation easements to purchasing of development rights. We will look for ways to expand such public commitments.

Western Water Reform. Water is the lifeblood of the West. Good laws and incentives can ensure that enough water is available to keep natural systems intact. By skillfully engaging in water law and transfer trends already under way, Hewlett Foundation grantees can build the basis for better water management.

Fossil Fuel Development. Energy development is the biggest threat to the West right now. We need to set standards regarding where and under what conditions energy can be extracted. At the same time, it is important to deploy a complementary strategy to promote renewable, homegrown, clean energy supplies that can help the West — a renewable-resource-rich region — become cleaner, more independent, and healthier.

Wilderness and Roadless Areas. There are still vast tracts of roadless areas in the West, both in the U.S. and in Canada. As more and more of the public landscape is developed and degraded, the ecological significance of large wilderness and roadless areas becomes that much more important. Protecting these increasingly rare landscapes will require permanent, legal designation.

Impacts of Motorized Recreation. As the population surges in western states, so too do the recreational impacts on public lands. Of all forms of recreation, off-road vehicle use is one of the most damaging. While there are some areas on public lands appropriate for this type of use, there are many other areas that are not. Creating basic environmental standards for use of ORVs on public lands will result in healthier ecosystems and reduce the number of conflicts between user groups (bikers, hikers, and equestrians).

New Environmental Constituencies. The West is facing a broadly changing demographic. Large increases in minority populations are changing the character and politics of many western states. Many of these *new* constituencies, particularly Hispanics, have expressed strong support for environmental issues. However, there is no infrastructure — either in the environmental movement or in organizations

currently serving these populations – to express this support on a grassroots or political level. Creating the capacity to conduct good environmental analysis and engage in politics and public education will help ensure that some of the West's newest residents are committed to and benefit from a healthy environment. There are additional opportunities to engage with other constituencies, such as hunters and anglers, ranchers, or the elderly, to build stronger environmental alliances. Good Grantmaking can help find common ground between groups that may have had historical differences but whose common interests are increasingly aligned.

11. The California Endowment (CA) \$3,366,256,100
Oxnard Street, Suite 1200
Woodland Hills, California 91367
Phone: (818) 703-3311
Phone: (800) 449-4149
Fax: (818) 703-4193
www.calendow.org/

To improve quality and access to comprehensive and coordinated health programs by supporting approaches that brings together the needs of undeserved communities with existing public and private resources.

Health & Well-Being To develop and/or replicate programs that promote healthy behaviors, manage, and prevent chronic conditions and unintentional injuries, reduce the impact of communicable disease, address behavioral risk factors, and protect against environmental threats.

Multicultural Health To promote culturally specific approaches that reduce cultural and ethnic disparities in health. Requests for funding may include planning, pilot programs, training, evaluation, policy efforts, dissemination of effective strategies and approaches to community health, advocacy or other related opportunities designed to strengthen the capacity of local communities to improve health.

12. The Rockefeller Foundation (NY) \$3,211,126,000
420 Fifth Avenue
New York, New York 10018
Phone: (212) 869-8500
Fax: (212) 764-3468
www.rockfound.org/

Creativity and Culture Goal: To give full expression to the creative impulses of individuals and communities in order to enhance the well-being of societies and better equip them to interact in a globalized world.

Working Communities Goal: To transform poor urban neighborhoods into working communities — safe, healthy and effective neighborhoods — by increasing the amount and quality of employment, improving the quality of all urban schools, and increasing the influence and voice of the poor and excluded in political decisions that affect their lives.

13. The Annenberg Foundation (PA) \$2,932,205,767
Main Office
St. Davids Center, Suite A-200
St. Davids, Pennsylvania 19087
Phone: (610) 341-9066
Fax: (610) 964-8688

Los Angeles Office
Center West, Suite 1605
10877 Wilshire Boulevard
Los Angeles, California 90024
Phone: (310) 209-4560
Fax: (310) 209-1631
www.whannenberg.org/

Community Learning Collaborative Program A school-anchored community development initiative, the Community Learning Collaborative Program strives to encourage local collaboration and build strategic alliances in a comprehensive effort to increase student achievement and educational quality and to encourage revitalization in select, historically underserved urban communities and the systems that serve people living in these communities. The three basic programmatic components include school enhancement, family services, and community development. The program funds initiatives in the Mechanicsville community in Atlanta and the Boyle Heights community in Los Angeles.

14. Robert R. McCormick Tribune Foundation (IL) \$1,855,201,839
435 North Michigan Avenue, Suite 770
Chicago, Illinois 60611
Phone: (312) 222-3512
Fax: (312) 222-3523
www.rrmf.org/

Citizenship Program: Educating young people about the obligations, as well as the privileges, of American citizenship is critical to the development of the individual and to the health of our society. The citizenship program, therefore, seeks to instill in our youth the desire to serve their communities and our country.

Goal: To engage youth in community and national affairs, the citizenship program funds initiatives that:

- promote volunteerism and civic participation;
- inspire a patriotic social ethos;
- enhance effective civic education.

Communities Program

Designed to encourage charitable giving from the public and to improve social and economic conditions in 29 communities throughout the United States. To encourage giving, the Communities Program provides matching dollars from the foundation's assets to monies raised from the general public.

15. Doris Duke Charitable Foundation (NY) \$1,574,746,419
DDCF Headquarters & Grantmaking Programs
650 Fifth Avenue, 19th Floor
New York, New York 10019
Phone: (212) 974-7000
Fax: (212) 974-7590
<http://fdncenter.org/grantmaker/dorisduke/>

The Environment Program pursues its mission through three initiatives designed to conserve the habitat upon which flora and fauna depend in ways that balance human, economic and ecological needs. Grants support projects that are based on findings from scientific research, incorporate economic incentives, create opportunities to leverage resources, and encourage participation in environmental stewardship.

Land Conservation Initiative

The Land Conservation Initiative seeks to protect and restore ecologically significant land in suburban and rural areas that are threatened by development. The initiative supports site-based and national projects that protect land, improve land-use planning, and strengthen land conservation organizations.

Forest Conservation Initiative

The Forest Conservation Initiative supports site-based and national projects that seek to conserve flora and fauna in forested landscapes and improve forest management in the United States.

16. W. M. Keck Foundation (CA) \$1,533,721,000
550 South Hope Street, Suite 2500
Los Angeles, California 90071
Phone: (213) 680-3833
Fax: (213) 614-0934
www.wmkeck.org/

Southern California Grant Program Guidelines and Procedures

The Southern California Grant Program, a secondary area of interest for the W. M. Keck Foundation, supports organizations located in, and providing direct services to, communities in Southern California in the areas of arts and culture, civic and community services, health care, and precollegiate education. In addition, the Foundation has established the W. M. Keck Foundation Early Learning Program as a new focus area. The Foundation looks for projects that creatively address pervasive needs, demonstrate broad financial support, and show promise of present and future impact in our region. In all its programs, the Foundation is increasingly focusing on services that enrich the lives of children and youth in Los Angeles and its environs.

17. The James Irvine Foundation (CA) \$1,509,641,006
San Francisco Office
One Market, Stuart Tower, Suite 2500
San Francisco, California 94105
Phone: (415) 777-2244
Fax: (415) 777-0869

Los Angeles Office
725 South Figueroa Street, Suite 3075
Los Angeles, California 90017
Phone: (213) 236-0552
Fax: (213) 236-0537
www.irvine.org/

The Museum Youth Initiative

The goal of the Museum Youth Initiative (MYI) is to strengthen to educate young people. Through the Museum Youth Initiative, the Foundation works with select museums in developing coherent strategies in museum programs aimed at augmenting educational programming for children without compromising the multifaceted role museums play in the community. While we are not adding any new museums to the MYI at this time, below is a description of the initiative.

The CORAL Model

Once invited to become a CORAL community, local coalitions, with Foundation support, develop a multi-year plan to mobilize community action to advance children's learning, with detailed goals and objectives, milestones and outcomes. A lead organization is funded to support the planning process with broad community participation. Following a successful planning phase, implementation grants are made that support CORAL activities for a seven-year project implementation period.

The CORAL model requires three simultaneous strategies: the ability of California museums for;

- Mobilizing public support from policy makers, school leaders, neighborhood groups, faith-based organizations, funders, business leaders and the media to build a more supportive local infrastructure for students;
- Assisting youth-serving organizations to work together and with schools to provide a rich and broad-based array of educational opportunities both in and out of school; and
- Educating parents and caregivers to build an informed constituency who will demand high quality activities for their children. CORAL is working with five California communities: Fresno, Long Beach, Pasadena, Sacramento, and San Jose.

Collaborative Regional Initiatives

The goals of Irvine's CRI program are to enhance economic vitality, increase social equity, and protect the natural environment of regions throughout California over the long-term through strategic, collaborative action by business, community and government leadership.

The objectives of the CRI program are the following:

- Create Collaborative Regional Initiatives that engage a broad base of leaders who rise above narrow jurisdictional, sectoral and ideological interests and that develops integrated approaches to addressing regional challenges and opportunities. These approaches are based on empirical data, a community-wide vision, and leveraged resources.
- Enhance the civic infrastructure in each regional community through improved leadership, communications, information sharing, and positive inter-sectoral or inter-group relations.
- Build a statewide network of CRIs and support their efforts to learn and improve approaches to community problem solving and to become more effective advocates locally and statewide for regional approaches to economic planning and development.
- Contribute to positive, tangible improvements in regional economic vitality, social equity, and environmental quality.

Land Use Initiative

The goal of the Land Use Initiative is to encourage patterns of growth that create vibrant communities and lead to strategic conservation of land resources. We define vibrant communities as places that offer a mix of land uses at a density that promotes walking between, say, schools, stores, housing, and transit stops. Vibrant communities also protect open spaces such as farmland, greenbelts or urban parks, in concert with a strategy that seeks to use developed land more efficiently.

To achieve its goal of improving patterns of growth, the Land Use Initiative has a two-pronged approach:

- At the local level, the Land Use Initiative will support locally driven demonstration projects in two to three communities — we have thus far selected San Diego and the Sacramento metropolitan region. Generally speaking, these are places where residents and local officials are particularly eager to tackle challenges presented by growth. Lessons learned, and examples provided, by these communities will be used to inform growth management strategies in other communities and to promote statewide policy change.
- The Initiative will also support direct, state-level policy reform that holds the potential to improve land use patterns throughout California, particularly through integration of planning processes.

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| 18. | <u>Marin Community Foundation</u> (CA)
5 Hamilton Landing, Suite 200
Novato, California 94949
Phone: (415) 464-2500
Fax: (415) 464-2555
www.marincf.org/ | \$1,150,556,205 |
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Earth Day Every Day Fund

The Earth Day Every Day Fund of the Marin Community Foundation exists to foster the goals of Earth Day celebrations. These goals are to educate and encourage individuals to recognize the environmental impact of their daily lives and to urge citizens to become environmentally aware consumers and to promote environmental responsibility in their communities.

Education

The purpose of the Education and Training program is to contribute to the development and advancement of quality educational and training opportunities.

Goals: Academic Performance in K-12: To improve the academic performance of K-12 public school students in Marin County.

Emphasis: Improving the academic performance of disadvantaged students through tutoring, mentoring, parent involvement, and special enrichment programs; and addressing conditions that place students at risk of school dropout.

Environmental Program

The purpose of the Environment program is to stimulate environmental awareness and knowledge, and to support conservation of the natural environment of the community.

Environmental Education: To support educational programs that teach fundamental respect for the diversity of life and the inter-relatedness of human existence and the natural environment.

Emphasis: Encouraging integrative approaches to environmental education for elementary and secondary school students, and for the public at large.

Land Conservation: To promote land conservation efforts that preserve agriculture, open space, and sensitive habitats.

Emphasis: Joining with civic entities and community organizations in efforts to protect and enhance the environment.

Environmental Quality: To support efforts that sustain, enhance, or rehabilitate the quality of air, land, and water resources, and/or preserve habitats and species.

Emphasis: Sustaining or rehabilitating biodiversity in watersheds, coastal regions, stream habitats, wetlands, and the San Francisco Bay Delta Estuary.

Limitations: The Foundation does not provide support for expenditures required for compliance with federal, state, or local laws and regulations, nor for excavation or protection of archeological sites.

19. The Henry Luce Foundation, Inc. (NY) \$1,059,392,814
111 West 50th Street
New York, New York 10020
Phone: (212) 489-7700
Fax: (212) 581-9541
www.hluce.org/

American Art Program

The American Art Program focuses on the fine and decorative arts and is committed to scholarship and the overall enhancement of this field. The program is national in scope and provides support for all periods and genres of American art history.

American art includes art related to the American experience in the United States; specifically, scholarly study of American painting, sculpture, prints, drawings, decorative arts, photography, and architecture. The program is limited to the visual arts, and does not include grants for film or broadcast media.

Environmental Initiative

The environmental initiative has two purposes. The first is to enhance the quality of academic training on the environment at both small liberal arts colleges and large research universities. The intent of these grants is to improve the quality of training and research in environmental studies, environmental science, and natural resource management. The second purpose is to work with environmental organizations on *real world* issues. Here, we endeavor to identify projects that will break new ground and hold promise for solving specific problems.

20. The San Francisco Foundation (CA) \$741,480,884
225 Bush Street, Suite 500
San Francisco, California 94104
Phone: (415) 733-8500
Fax: (415) 477-2783
www.sff.org/

The San Francisco Bay Fund Initiative

The purpose of The San Francisco Bay Fund Initiative is to improve water quality and reduce pollution in the San Francisco Bay estuary. The San Francisco Foundation established the San Francisco Bay Fund in December 1998 with \$3.875 million from pre-trial settlement of a pollution lawsuit related to releases of selenium to San Francisco Bay. The Foundation was recommended to receive these funds due to its 15-year history of support for efforts to preserve and restore the San Francisco Bay ecosystem, its effective stewardship of assets, its capacity to administer grants programs and related activities, and its community-based governance structure.

21. Surdna Foundation, Inc. (NY) \$639,962,016
Madison Avenue, 30th Floor
New York, New York 10017
Phone: (212) 557-0010
Fax: (212) 557-0003
www.surdna.org/

Environment

A healthy natural environment is the foundation upon which human communities' flourish. Today, the environment is at great risk due to the interrelated threats of global climate change, biodiversity loss and unsustainable levels of resource consumption.

To address these threats, Surdna's Environment Program has chosen four focus areas where we feel we can make a meaningful contribution in the United States: Biological Diversity and the Human Communities Which Depend On It; Realigning Human and Natural Systems; Transportation and Urban/Suburban Land Use; and Energy.

Our goals are to prevent irreversible damage to the environment and to promote more efficient, economically sound, environmentally beneficial and equitable use of land and natural resources. Our Grantmaking Principles include:

- Supporting government, private and voluntary actions;
- Preferring redesign to eliminate problems rather than amelioration to deal with them after-the-fact;
- Building bridges, defusing conflict and bringing diverse constituencies together;
- Encouraging a diversity of people and interests to participate in addressing environmental concerns
- Supporting multi-sectoral approaches and partnerships, and recognizing the interdependence of sectors and disciplines;
- Fostering a population of environmentally informed, responsible, activist citizens;
- Respecting community and grassroots perspectives.

22. Community Foundation Silicon Valley (CA) \$583,088,268
60 South Market Street, Suite 1000
San Jose, California 95113
Phone: (408) 278-2200
Fax: (408) 278-0280
www.cfsv.org/

Neighborhoods and Civic Engagement

Community Foundation Silicon Valley helps residents renew their neighborhoods by funding projects that encourage neighbors to participate in their community. Our goal is to support projects that create and sustain strong neighborhoods and to support residents' participation in building stronger communities.

Appendix B

Sample Letters and Resolutions

The following are various forms of letters and resolutions that might be submitted to governmental agencies, nonprofit community based organizations and foundations. They differ in length, approach, and style. If you have any questions about sample letters or resolutions, ask the project officer for clarification.

Sample Letter #1:

October 25, 2004

Applicant (such as the California Department of Parks and Recreation)
Applicant address
Applicant city, state, zip

Subject: Environmental Enhancement and Mitigation Program Grant Application: Proposed Removal of Structures at the Point Sur Naval Facility

Dear Applicant:

I am writing this letter to express my support for the California Department of Parks and Recreation, Environmental Enhancement and Mitigation (EEM) Program grant application for the proposed removal of structures at the Point Sur Naval Facility.

After considerable effort, the Department of Parks and Recreation (State Parks) is acquiring the Point Sur Naval Facility located on the Big Sur coast in Monterey County. Through this acquisition, a visitor center for the nearby Point Sur State Historic Park is nearing realization. For this long awaited project to take place, funding is needed to remove many of the Naval facility's old and badly deteriorate buildings.

I urge you to support State Park's EEM grant application. This grant will aid in the removal of several visually obtrusive and unneeded buildings on an otherwise beautiful landscape. Now is the time to speed the removal of these intrusions upon the pastoral and ocean vistas of this portion of the Big Sur coast.

This stretch of coastal viewshed attracts millions of visitors to Monterey County each year. As you are aware, the State of California has made significant progress in protecting the Big Sur coastline, thus ensuring the continuation of unobstructed views of the Pacific Ocean.

Again, I urge you to look favorably upon the Department of Parks and Recreation's EEM grant application for restoration of this small, yet significant portion of California's precious coast.

Thank you for your consideration.

Sincerely,

Jane W. Calhoun
State Senator

Sample Letter #2:

August 25, 2004

Applicant (such as the California Department of Boating and Waterways)

Applicant address

Applicant city, state, zip

Subject: Environmental Enhancement and Mitigation (EEM) Program Grant Application:
Proposed Removal of Structures at the Point Sur Naval Facility

Dear Applicant:

As you are undoubtedly aware, the Department of Parks and Recreation is in the process of acquiring the Point Sur Naval Facility, which is located on the Big Sur coast in Monterey County. With their long-held plans for establishing a visitor center for nearby Point Sur State Historic Park now nearing realization, the Department remains in need of funding to aid in the timely removal of several of the Naval Facility's old and badly deteriorated buildings. I am in complete support of this grant application, and urge you to support State Parks in receiving this EEM grant. It will greatly assist their efforts for early removal of these visually obtrusive buildings on an otherwise beautiful landscape.

For millions of motorists each year, the most visible of the Naval Facility's numerous support buildings have been intrusions upon the pastoral and ocean vistas of this portion of the Big Sur coast and of the spectacular Point Sur lightstation. The surrounding private property is already protected viewshed, thus ensuring the continuation of unobstructed views of the ocean. It is now time to speed removal of the most conspicuous of the facility's unnecessary buildings, thus restoring the beauty of the Big Sur coast.

Again, I urge you to look favorably upon the Department of Parks and Recreation EEM grant application for restoration of this small yet significant portion of California's precious coast.

Sincerely,

Fred Keeley, <then>Member
27th Assembly

Sample Letter #3:

August 25, 2004

Applicant (such as the Wildlife Conservation Board)

Applicant address

Applicant city, state, zip

Subject: Environmental Enhancement and Mitigation Program Grant Application: Proposed Removal of Structures at the Point Sur Naval Facility

Dear Applicant:

I am writing to support the Environmental Enhancement and Mitigation grant proposal from the Monterey District of the Department of Parks and Recreation to remove structures at the Point Sur Naval Facility in Big Sur. This grant will significantly help to support the District's efforts to remove as many abandoned buildings as possible.

Removing the old military structures in this location will greatly enhance the viewshed of this extraordinary coastal landscape. In my capacity as Fifth District County Supervisor and Co-Chair of the Big Sur Multi-Agency Advisory Council, I have worked diligently with my constituents to help to implement the policies of the Big Sur Land Use Plan. One of the key elements of the plan is preserving the viewshed from Highway One. Public sentiment is overwhelming in favor of returning the area to open space.

The State Park's proposed actions will help to restore the viewshed in this area of Big Sur. Without grant funding, this project will not happen. I encourage your support and would be glad to answer any questions or provide further information.

Dave Potter

Fifth District Supervisor

Sample Resolution

Resolution Supporting Grant Application

Resolution No: ____

RESOLUTION OF THE Board of Directors of the XYZ Recreation and Park District APPROVING THE APPLICATION FOR GRANT FUNDS FOR THE LOCAL AGENCY GRANT PROGRAM – FISCAL YEAR 2003-04, UNDER THE HABITAT CONSERVATION FUND PROGRAM OF THE CALIFORNIA WILDLIFE PROTECTION ACT OF 1990 for the following project:

Urban Trail Project at ABC Community Park

WHEREAS, the people of the State of California have enacted the California Wildlife Protection Act of 1990, which provides funds to the State of California for grants to local agencies to acquire and/or develop facilities for public recreational and fish and wildlife habitat protection purposes; and

WHEREAS, the California Department of Parks and Recreation has been delegated the responsibility for the administration of a portion of the program within the State, setting up necessary procedures governing application be local agencies under the program; and

WHEREAS, said procedures established by the California Department of Parks and Recreation require the applicant to certify by resolution the approval of application before submission of said application to the State; and

WHEREAS, said application contain assurances that the applicant must comply with; and

WHEREAS, the applicant will enter into an agreement with the State of California for acquisition or development of the project;

NOW THEREFORE, BE IT RESOLVED that the Board of Directors for XYZ Recreation and Park District hereby:

1. Approves the filing of an application for the Habitat Conservation Fund Grant Program under the California Wildlife Protection Act of 1990 State grant assistance for the above project; and
2. Certifies that said applicant understands the assurances and certification in the application form; and
3. Certifies that said applicant has or will have available prior to commencement of any work on the project included in this application, the required match; and will have sufficient funds to operate and maintain the project; and
4. Appoints the District Administrator as agent of the XYZ Recreation and Park District to conduct all negotiations, execute and submit all documents, including, but not limited to applications, agreements, amendments, payment requests and so, which may be necessary for the completion of the aforementioned project.

Resolution No 03-3423A (continued)

Approved and Adopted the 22nd day of September, 2004.

I, the undersigned, hereby certify that the foregoing Resolution Number 03-3423A was duly adopted by the Board of Directors following roll call vote:

Ayes: Jones, James, O'Donnel, Campbell, Franklin

Noes: none

Absent: none

Roberta English, Administrator
Clerk of the Board of Directors

Date

Appendix C

Glossary of Grant-Related Terms

This partial list of grantwriting terms is commonly used in grant application guidelines, administrative contracts and other grant literature. Please consider this a guide to grantwriting and related terms. If you have are unclear with how something is phrased in a grant application, ask the project officer for clarification.

Abstract – A summary of your grant proposal. The abstract touches on key points and typically is very brief.

Acquisition – To obtain fee title or a lesser interest in real property, including specifically, a conservation easement or development rights. Leases or rentals do not constitute acquisition.

Actual Cost – The amount paid for an asset, not its resale value or worth. An item's cost can also include the freight charges and installation cost.

Administrative Costs – Overhead expenses such as salaries, copying, rent, telephone, etc. These are costs that are not directly related to the operation of a program.

Administering State Agency – State agency, department, or division, primary sub-unit that has direct administrative responsibility for the program.

Agency Appropriation – Unique 8-digit number consisting of the respective State agency's budget code.

Allocation – Money designated according to a formula. A distribution of funds, or an expenditure limit established for an agency for one or more projects, arrived at by applying a formula to specific program funds.

Allotment – An amount of funds received by a grant recipient.

Americans with Disabilities Act or ADA – Federal legislation that prohibits discrimination and ensures equal opportunity for persons with disabilities in employment, State and local government services, public accommodations, commercial facilities and transportation.

Amount and Number of Awards – Minimum, maximum and average dollar amount of awards and the number of awards for a typical award period.

Annual Campaigns (as in grant funding) – Any organized effort by a nonprofit to secure gifts on an annual basis; also called annual appeals.

Annual Report – Yearly publication focusing on financial, program, and governance information of a corporate giving program or foundation. Annual reports describe the grant-maker's priority funding areas, grant making policies and procedures, guidelines for grant

seekers, and programs that received grants in that year. Financial pages list assets, income, granted funds, and operating expenses. Granted funds may be categorized by program areas (such as education or youth services) and specific organizations as well as by amounts.

Applicant – An agency or organization requesting funding from a grant program.

Application – Printed or written form outlining grant requirements to be completed by the applicant.

Application Procedures and Deadlines – Steps and procedural requirements to be followed by eligible applicants when applying to a program, including (where applicable) the month, day and year and application must be received by the granting agency.

Appropriation – A legislative budget authorization from a specific fund to a specific agency or program to make expenditures or incur obligations for a specific purpose and period of time.

Assets – The amount of capital or principal – money, stocks, bonds, real estate, or other resources – controlled by a foundation or corporate giving program. Generally, assets are invested and the resulting income is used to make grants.

At-Risk Youth – Persons who have not attained the age of 24 years, and are at high risk of being affected by criminal activity, engaging in illicit behavior, adolescent pregnancy, school failure or dropout, juvenile delinquency, gangs, or substance abuse.

Audit – To inspect the accounting records and procedures of a business or organization in order to verify whether or not they are accurate and complete. A member of the organization whose records are being inspected does an internal audit. An independent audit is done by someone outside the organization.

Authorization – Legislation that creates and establishes a program and a funding ceiling, precedes appropriation. In many cases, the authorization legislation is multi-year. The full-authorized amount is rarely appropriated.

Authorization Bill – Legislation setting up the general aims and purposes of a program.

Award – Funds provided as the result of winning a grant.

Awardee – Recipient of the grant.

Awards/Prizes/Competitions – Grants for constructing, renovating, remodeling, or rehabilitating property. Includes general or unspecified capital support awards.

Balance – The amount shown in an account, normally the difference between all the debits and the credits.

Balance Sheet – A financial statement that gives a snapshot of the property owned by a company and of claims against that property as of a certain date.

Beneficiary – In philanthropic terms, the donee or grantee receiving funds from a foundation or corporate giving program is the beneficiary, although society may benefit as well.

Bid Process – A process in which several service or contract providers compete for a particular job or contract.

Body Mass Index (BMI) – A number showing body weight adjusted for height. BMI can be calculated with simple math using inches and pounds, or meters and kilograms. For adults aged 20 years or older, BMI falls into one of these categories: underweight, normal, overweight, or obese.

Budget – Financial plan for carrying out the project or program identified in the grant program. One's estimate of income and expenses over an interval of time, whether daily, weekly, monthly, annually, etc.

California Environmental Quality Act (CEQA) – The California Environmental Quality Act as stated in the Public Resources Code Section 21000 et seq.; Title 14 California Code of Regulations Section 15000 et seq. CEQA is a law establishing policies and procedures that require agencies to identify, disclose to decision makers and the public, and attempt to lessen significant impacts to environmental and historical resources that may occur as a result of the agency's proposed project.

Capital Campaigns – Campaigns to raise funds for a variety of long-term purposes such as building construction or acquisition, endowments, and land acquisition.

Capital Grant – Grant to provide funding for buildings, construction, or large pieces of equipment rather than for program or operating expenses.

Capital Improvement – Something that improves an asset's value and extends its life. Projects which utilize expenditures for acquisition, development, or both, of land and/or facilities to improve the property's usage and access for park and recreation purposes.

Capital Projects – The acquisition or development of a park facility, parkland, or community center.

Capital Support – Funds provided for endowment purposes such as for buildings, construction or equipment.

Catalog of Federal Domestic Assistance – Official 5-digit identification number assigned to a Federal program and published in the Catalog of Federal Domestic Assistance. This entry also identifies the official program title of the Federal program.

Categorical Grant – A grant given to support an activity in a specific category such as health, the arts, education, transportation, public safety, etc. Some categories may be

broader than others, i.e., health – adolescent pregnancy prevention, or general, i.e., health – senior citizens.

Cause Related Marketing – The practice of linking gifts to charities with marketing promotions. This may involve donating products that will then be auctioned or given away in a drawing with the proceeds benefiting a charity. The advertising campaign for the product will be combined with the promotion for the charity. In other cases it may be advertised that when a customer buys the product a certain amount of the proceeds will be donated to charity.

Challenge Grant – Grant contingent on the recipient's ability to raise additional funds from other sources. For example, a corporation might award an organization \$1 for every \$1 in new money raised from individuals.

Charitable Contribution – A contribution (gift) to a charitable cause that is allowed as a deduction from taxable income by the Internal Revenue Service. Corporate contributions to social programs and organizations are in some cases considered business expenses.

Collections Acquisition – Grants to libraries or museums to acquire permanent materials as part of a collection, usually books or art.

Collections Management/Preservation – Grants for maintenance, preservation, and conservation of materials.

Committed Funds – That portion of a corporate or philanthropic budget that has already been allocated or pledged to organizations, groups, or specific programs.

Commissioning New Projects – Grants to support the creation of new artistic works.

Community Foundations – A public charity supported by combined funds contributed by individuals, foundations, nonprofit institutions, and corporations. A community foundation's giving is limited almost exclusively to a specific locale, such as a city, county or counties, or a state.

Although it seeks funds to be held as an endowment, with the income used to make grants, a community foundation accepts funds from donors who authorize principal to make grants, in whole or in part. Donors may designate specific charitable agencies or provide that grants be made for charitable purposes at the discretion of the foundation's public board. Many community foundations also permit donors to advise as to which agencies and activities considered for grants.

Community Fund – An organized program that makes annual appeals to the general public for funds that are usually not retained in an endowment but are instead used for the on-going operational support of local agencies.

Community Reinvestment Act – Passed by Congress in 1977, the Act requires that certain federal agencies use their regulatory powers to help meet the credit needs of the communi-

ties they serve, including low-income neighborhoods. Two key aspects of the Act are intended to urge banks to market their services affirmatively throughout the entire community, and to create a continuing dialog between the bank and its community to enable the bank to become more aware of, and appropriately responsive to, the needs of that community.

Company-Sponsored Foundation (also referred to as a corporate foundation) – A private foundation whose assets are derived primarily from the contributions of a for-profit business. While a company-sponsored foundation may maintain close ties with its parent company, it is an independent organization with its own endowment and as such is subject to the same rules and regulations as other private foundations.

Competitive – A process whereby projects are ranked and selected based upon program-specific criteria.

Competitive Grant – A proposal that must go through a competitive, objective review process to receive an award of funds or grant.

Computer Systems and Equipment (as in grant funding) – Grants to purchase or develop automated systems.

Conferences/Seminars – Includes workshops.

Consulting Services (as in grant funding) – Professional staff support provided by the foundation to a nonprofit to consult on a project of mutual interest or to evaluate services (not a cash grant).

Continuation Grant – Grant available for the continuation of a program already underway.

Continuing Support – Grant renewed on a regular basis.

Contract – An agreement between a grantee and a granting agency specifying the payment of funds for the performance of the project scope within the project performance period by the grantee.

Contract Award – The amount one receives to perform a service for or to deliver finished goods to an end user. The individual or business receiving this award is legally bound to perform an exact function concluding in a result. When a government agency makes a contract award, it is giving an assignment, usually to a private firm, to produce goods or perform services as stipulated in the agreement.

Contributions Committee – A committee, usually drawn from a corporation's board, executive staff, and employees, sometimes including outside members, that is charged with determining policy and overseeing the corporation's philanthropic activities. Its responsibilities may include determining the contribution policy and budget, defining priority funding areas, guidelines for applicant eligibility, and approving the recipient and amount of each grant. The committee may also oversee philanthropic programs other than direct grants, such as employee involvement and loaned executive programs.

Contributions Policy – A statement that outlines the parameters of a corporate or philan-

thropic activity, usually drawn up and approved by the board of its contributions committee. A policy statement may include grant making goals and objectives, priority program areas that receive funding, the organizations eligible to receive funding, grant application procedures, and the timetable for reviewing proposals and awarding grants.

Cooperative Venture – A joint effort of one or more grant-makers or a governmental unit. Each partner may participate for example, through sharing information, technical resources, funds, or research.

Corporate Foundation – A private foundation whose funds are supplied principally by a profit making business.

Corporate Giving Program – A grantmaking program established and administered within a for-profit corporation. Because corporate giving programs do not have separate endowments, their annual grant totals generally are directly related to company profits. Corporate giving programs are not subject to the same reporting requirements as corporate foundations.

Cost Sharing Factor – A data element that explicitly reflects the share of program costs to be financed with federal funds.

Critical Lack of Park and Open Space Land – Refers to a deficiency in the number of acres of park and open space land per 1,000 residents currently set aside for public recreation.

Curriculum Development – Awards to schools, colleges, universities, and educational support organizations to develop general or discipline-specific curricula.

Data Elements – The various formula factors (usually, but not always, comprised of statistical series) used to produce allocations.

Debt Reduction – Grant to reduce the recipient organization's indebtedness; also referred to as deficit financing. Frequently refers to mortgage payments.

Deductible Contribution – A contribution (gift) to a charitable cause that is allowed as a deduction from taxable income by the Internal Revenue Service. Corporate contributions to social programs and organizations are in some cases considered business expenses.

Demonstration Grant – A grant that supports a model program that can be replicated by other entities.

Depreciation – The wearing out of equipment, machinery, etc. and which reduces taxable income.

Development – The improvements to real property by construction of new facilities or renovation or additions to existing facilities.

Deteriorated Park Facilities – The degraded features in a park that physically or visually impair or inhibit use of the park.

Direct Costs – Program or project related costs.

Direct Loan – Loan to organizations or individuals for various purposes for a specified period of time with a reasonable expectation of repayment.

Direct Payment/Specified Use – Financial assistance provided directly to individuals, private firms, and other private institutions to encourage or support a particular activity. Usually there is a condition for receipt of the assistance based on a particular performance by the recipient.

Direct Payment/Unrestricted Use – Financial assistance provided to beneficiaries who satisfy eligibility requirements with no restrictions imposed on the recipient as to how the money is spent.

Director – The Executive Officer of an organization or agency. For example, the Director of the California Department of Parks and Recreation.

Discretionary Grant – Grant funding which is subject to the discretion of the grantor.

Distribution Committee – The committee responsible for making grant decisions. For community foundations, the distribution committee is intended to be broadly representative of the community served by the foundation.

Donated Equipment (as in grant funding) – Surplus furniture, office machines, paper, appliances, laboratory apparatus, or other items that may be given to charities, schools, or hospitals.

Donated Land (as in grant funding) – Land or developed property. Institutions of higher education often receive gifts of real estate; land has also been given to community groups for housing development or for parks or recreational facilities.

Donated Products (as in grant funding) – Organizations or corporations sometimes give away what they make or produce. Product donations may include periodic clothing donations to a shelter for the homeless or regular donations of pharmaceuticals to a health clinic.

Donee – The recipient of a grant. (Also known as the grantee or the beneficiary.)

Donor – An individual or organization that makes a grant or contribution to a donee. (Also known as the grantor.)

Eligible Applicants – Identifies the groups and individuals who may apply for a grant program. Applicants are classified into one or more of the following categories: State Government, County Government, cities, individuals, for-profit organizations, nonprofit organizations, regional agencies and others.

Emergency Funds – One-time grants to cover the immediate short-term funding needs of a recipient organization on an emergency basis.

Employee Matching Gifts – Usually made by corporate foundations to match gifts made by corporate employees.

Employee-Related Scholarship – Scholarship programs funded by a company-sponsored foundation usually for children of employees; programs are frequently administered by the National Merit Scholarship Corporation, which is responsible for selection of scholars.

Employee Volunteer Services – Effort through which a company promotes involvement with nonprofits through its employees.

Employment Matching Grant – A contribution to a charitable organization by an employee that is matched by a similar contribution from his or her employer. Many corporations have employee matching-gift programs in higher education that encourages their employees to give to the college or university of their choice.

Endowment/Endowment Funds – Stocks, bonds, property, and funds given permanently to a foundation so that it may produce its own income for grant making purposes. Also a gift of money or property from one to another, usually of a government agency or private foundation to another organization or private foundation to another organization or an individual. It can also mean the permanent fund from which these gifts are drawn.

Entitlement – Programs that provide benefit payments for individuals whose eligibility is determined by law.

Entitlement Funds – Money received on the basis of a formula.

Equipment – Grants to purchase equipment, furnishing, or other materials.

Exchange Programs – Usually refers to funds for educational exchange programs for foreign students.

Executive Summary – A synopsis of a project that presents key facts such as amount of money requested, activities that will be executed, outcomes that will be achieved, and need for the proposed project.

Exhibitions – Awards to institutions such as museums, libraries, or historical societies specifically to mount an exhibit or to support the installation of a touring exhibit.

Expenditure Responsibility – Grants by private foundations to traditional nonprofit organizations such as faith based groups, medical facilities, and other publicly supported agencies are presumed to be charitable and require no extra documentation for the Internal Revenue Service. Grants to any other type of organization, another private foundation, a profit-making business, a civic league, labor organization, and others, require the private foundation to exercise additional responsibility to be certain the funds are expended in an acceptable manner. Specifically, the foundation must ensure that the grant is used solely for the purpose for which it was made, must obtain complete reports from the grantee on how the funds were spent, and must report in detail to the Internal Revenue Service on any such expenditures.

Faculty/Staff Development – Grants to institutions or organizations to train or further educate staff or faculty members.

Family Foundation – An independent private foundation whose funds are derived from members of a single family. Family members often serve as officers or board members of family foundations and have a significant role in their grantmaking decisions.

Feasibility Study – An analysis and projection of future income, expenses and profitability of a business or investment.

Federal Funds – Financial assistance appropriated by the administering federal agency.

Federal Register – Source of official announcements for application information.

Federated Drive or Federated Giving Program – A joint fund raising effort on behalf of several nonprofit organizations. Usually run by an organization that is itself nonprofit. Contributed funds are distributed to its member organizations according to its own criteria. United Way and community chests or funds, the United Jewish Appeal and other religious appeals, the United Negro College Fund, and joint art councils are examples of federated giving programs.

Fellowship Funds – Usually indicates funds awarded to educational institutions to support fellowship programs.

Film/Video/Radio – Grants to fund a specific film, video, or radio production.

Fiscal Sponsorship – Affiliation with an existing nonprofit organization for the purpose of receiving grants. Grant seekers may either apply for federal tax-exempt status or affiliate themselves with a nonprofit sponsor.

501(c)(3) – The section of the tax code that defines nonprofit, charitable, tax-exempt organizations; 501(c)(3) organizations are further defined as public charities, private operating foundations, and private non-operating foundations.

Flow-Through Funds – Corporate contributions to corporate foundations for grant making, not for endowing the foundation permanently. Most corporate foundations depend on these funds each year rather than on income produced from the endowment.

Form 990-PF – The public record information return that all private foundations are required by law to submit annually to the Internal Revenue Service (IRS).

Form 990 – The information return that public charities file with the Internal Revenue Service (IRS).

Formula – A prescribed method for distributing funds among grant recipients to finance (completely or partially) funding requests. It is a structured mathematical statement, e.g., algebraic equation. It specifies the data element(s) used to determine the allocation or reimbursement and the relationships between the data elements.

Formula Grant – Allocations of money in accordance with a distribution formula prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specified project.

Foundation – A nongovernmental, nonprofit organization with funds and a program managed by its own trustees and directors, established to further social, educational, religious, or other charitable activities by making grants. A private foundation receives its funds from, and is subject to control by, an individual, family corporation, or other group of limited number. In contrast, a community foundation receives its funds from multiple public sources and is classified by the Internal Revenue Service as a public charity. In general, a foundation is an institution or association organized to contribute money, or some other form of assistance, for benevolent, charitable, educational, religious, or research purposes.

Foundation Board of Directors – Governing and policy-making body of a foundation. (A company sponsored foundation's board members may include members of the corporation's board, members of the contributions committee and the contributions staff, members of the community and others not affiliated with the corporation.)

Front-End – To pay for costs incurred by the grant project prior to receiving grant funding.

Fund Accounting – An accounting system which establishes accounts for segregating revenues and other resources, together with all related liabilities, obligations, and reserves, for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations. Fund Accounting, in a broad sense, is required to demonstrate compliance with the requirements for which the funds were raised and granted.

Funding Types:

1. Capital Improvements/Developments – money raised for construction, renovation, remodeling, or rehabilitation of buildings; may be part of an organization's capital campaign.
2. Capital Campaigns – a campaign, usually extending over a period of years, to raise substantial funds for enduring purposes, such as building or endowment funds.
3. Equipment – a grant to purchase equipment, furnishings, or other materials.
4. General/Operating Support - a grant made to further the general purpose or work of an organization, rather than for a specific purpose or project; also called unrestricted grants.
5. Matching Funds – a grant that is made to match funds provided by another donor.

6. Program Development – grants to support specific projects or programs as opposed to general purpose grants.
7. Seed money or 'Start-Up funds' – a grant or contribution used to start a new project or organization. Seed money may cover salaries and other operating expenses of a new project.

Formula Funds – Money received based on the certain requirements of the target population.

General Purpose Foundation – An independent private foundation that awards grants in many different fields of interest.

Grant, Grants-In-Aid – An assistance award in the form of dollars, product(s) and/or technical assistance. There are three general categories of grants: Categorical, Block and Revenue Sharing, along with several subcategories.

Categorical – grants allocated for a single purpose within a specified timeframe.

Project – grants for a specific program and purpose, nationwide/ regional competition.

Formula – grants to states on a prescribed basis. The state may distribute these funds based upon a state plan – these funds are termed 'pass through'.

Block – consolidation of categorical funds into a single flexible grant program for distribution to the states.

Block-grants – as designed, Categorical grants were blended into several single multi-functional grants, which were distributed to states and local governments.

General Revenue Sharing – distribution of federal funds, based on a formula to states, and counties for their use with few restrictions.

Special Revenue Sharing – this program was the precursor of block grants.

Grant Contract – A statement, signed by both grant-maker and grant recipient, describing how the grant is to be used and what reporting is required.

Grant Program – Activities and requirements that must be followed by the grantee.

Grantee – A person/organization who has a contract for grant funds.

Grantee Financial Report – A report detailing how grant funds were used by an organization. Many corporate grantmakers require this kind of report from grantees. A financial report generally includes a listing of all expenditures from grant funds as well as an overall organizational financial report covering revenue and expenses, assets and liabilities. Some funders may require an audited financial report.

Granting Agency, Grantmaker – Terms used to describe any private or public organization that makes grant awards.

Grantor – Organization who gives a grant to a grantee.

Grant Seeker – Any individual or organization that submits a request for grant funds from a granting agency.

Grants-In-Aid – Such aid is defined as resources provided by the federal government in support of a state or local program of governmental service to the public. This includes:

- (a) Direct cash grants to state or local governmental units, to other public bodies established under state or local law, or to their designees.
- (b) Outlays for grants-in-kind such as purchases of commodities distributed to state or local governmental institutions.
- (c) Payments to nonprofit institutions when:
 - (1) The program is coordinated or approved by a state agency.
 - (2) Payments are made directly because of provisions of a state plan or other arrangements initiated by a state or local government.
 - (3) Payments are made with the explicit intent of augmenting public programs.
- (d) Federal payments to Indian tribal governments, when:
 - (1) The legislation authorizing the payment includes such entities within the definition of eligible state or local units, or
 - (2) The tribal governments act as a nonprofit agency operating under state or local auspices.
- (e) Shared revenues and payments in lieu of taxes.
- (f) Payments to regional commissions and organizations that are redistributed at the state or local level or provide public services.
- (g) Federal payments to state and local governments for research and development that is an integral part of the state and local government's provision of services to the general public.
- (h) Direct federal loans to state and local governments for purposes similar to those for which grants are made.

Excluded under this definition are:

- (i) Federal administrative expenses associated with these programs.
- (j) Grants directly to nonprofit institutions not covered above, individuals, and profit-making institutions.
- (k) Payments for services rendered, such as utility services, tuition payments and research for federal purposes conducted under contracts, grants or agreements by such agencies such as the National Institute of Health, the National Science Foundation, the Energy Research and Development Administration, the National Aeronautics and Space Administration, and the Department of Defense.
 - (1) Federal grants to cover administrative expenses for regional bodies and other funds not redistributed to the states, or their subordinate jurisdictions.

With a few notable exceptions, this definition of grants has been used in identifying most block and categorical grants. The exceptions include shared revenues, and loan programs, which have been excluded. Additionally, all programs of aid to institutions of higher education are classified according to the descriptions of eligible recipients.

If the program provides aid exclusively to public institutions of higher education or if the states and local governments have a role in the grant process, it is considered a grant to state and local governments. If private nonprofit institutions of higher education are eligible to receive funds without any action on the part of a sub-national governmental unit even though public institutions also may be eligible for assistance, the program is not included as a state-local government grant program. Although public institutions also may be eligible for assistance, the program is not included as a state-local government grant program.

Grants to Individuals – These are awards given directly to individuals, not through other organizations.

Grassroots Fundraising – Efforts to raise money from individuals or groups from the local community on a broad basis. Usually an organization's own constituents – people who live in the neighborhood served or clients of the agency's services – are the sources of these funds. Grassroots fundraising activities include membership drives, raffles, auctions, benefits, and a range of other activities.

Guidelines – Procedures set forth by a funder that grant seekers should follow when approaching a grantmaker.

Historical Resource – Includes, but is not limited to, any building, structure, site, area, corridor, place, artifact, or collection of artifacts that is historically or archaeologically significant to the culture of California.

In-kind Contributions – Those funds and/or donations, which may be from a non-state source, and which may include local or private funds, as well as materials and services.

Independent Foundation – A grantmaking organization usually classified by the IRS as a private foundation. Independent foundations may also be known as family foundations, general-purpose foundations, special purpose foundations, or private non-operating foundations.

Indirect Costs – Overhead costs usually allocated to more than one program.

In-kind Contributions – A corporate or government contribution that is not in cash. Such a contribution may take a variety of forms: for example, a donation of used office furniture or equipment, access to the agency's computer to keep mailing lists or financial records, supplying printing services, office space, or the professional services of employees. Also known as 'soft match'.

In-Kind Gifts – Contributions of equipment, supplies, or other property as distinct from monetary grants.

Income Development – Grants for fundraising, marketing, and to expand audience base.

Insurance – Financial assistance provided to assure reimbursement for losses sustained under specific conditions.

Insured Guaranteed Loan – Programs in which the government makes an arrangement to protect a lender against a part or all of any defaults by those responsible for repayment of loans.

Internship Funds (institutional support) – Funds awarded to an institution or organization to support an internship program, rather than a grant to an individual.

Joint Venture – A project undertaken by more than one investor acting as one organization.

Land Acquisitions – Grants to purchase real estate property.

Letter of Inquiry/Letter of Intent – A brief letter outlining an organization's activities and its requests for funding that is sent to a prospective donor in order to determine whether it would be appropriate to submit a full grant proposal. Many grantmakers prefer to be contacted in this way before receiving a full proposal.

Loaned Talent – Usually involves employee-loaned professionals and executive staff who are helping a nonprofit in an area involving their particular skills.

Local Share – Resources a grantee must provide in relation to the grantor's share in order to receive a grant.

Management Development – Grants for salaries, staff support, staff training, strategic and long-range planning, budgeting, and accounting.

Matching Funds – Contributions required by a party other than the grantor; or as in grant funding, grants made to match funds provided by another donor.

Matching Gift – A grant by a corporation that matches an amount contributed, usually by an employee, to a nonprofit organization. It may be an exact match of funds or a ratio match, such as \$3 given for every \$1 contributed by an employee.

Matching Grant – A grant that is made to match funds provided by another donor.

Matching Requirements – Identifies matching fund requirements, which must be met by an applicant to receive benefits from a program. These are listed as percentages, and must equal 100 percent when totaled.

Mathematical Structure – The algebraic expression that describes the formula in mathematical terms. It shows how a formula's data elements are algebraically combined to determine either program eligibility, the grant recipient's share of available funds, the recipient's funding allotment, or the level of eligible program costs subject to federal reimbursement. These algebraic expressions cannot be used to calculate recipients' actual dollar allocations because constraints and set-asides are not included.

Minimum Allocation – A guarantee to each grant recipient of a funding level that equals a minimum specified level, either in absolute dollar or percentage terms.

Nonprofit Organization – A term describing the Internal Revenue Service’s designation of an organization whose income is not used for the benefit or private gain of stockholders, directors, or any other persons with an interest in the company. A nonprofit organization’s income is used to support its operations. Nonprofits can be public or private.

Obesity – Obesity is defined as an excessively high amount of body fat or adipose tissue in relation to lean body mass. The amount of body fat (or adiposity) includes concern for both the distribution of fat throughout the body and the size of the adipose tissue deposits. Body fat distribution can be estimated by skinfold measures, waist-to-hip circumference ratios, or techniques such as ultrasound, computed tomography, or magnetic resonance imaging.

Obligations – The amount of grant funds awarded by the federal government to a grant recipient during a given period; obligations incurred require that the recipient make federal payments during the same or a future period.

Office of Grants and Local Services – (OGALS) Department of Parks and Recreation – www.parks.ca.gov/grants.

Operating Foundation – A 501(c)(3) organization classified by the IRS as a private foundation whose primary purpose is to conduct research, social welfare, or other programs determined by its governing body or establishment charter. An operating foundation may make grants, but the amount of grants awarded generally is small relative to the funds used for the foundation’s own programs.

Operating Support Grant – A grant to cover the regular personnel, administrative, and miscellaneous expenses of an existing program or project.

Other Matching Requirements – Description of any other conditions to be met as Matching Requirements, for example, in-kind services and planning costs.

Other Types of Aid – Description of non-financial assistance not classified as technical services, for example, in-kind contributions such as telephone, computer and office space.

Overhead – Also called indirect costs, this is a fiscal arrangement whereby the grant receiving organization earns monies in addition to direct costs, for their services in the area of payroll and personnel services, staffing, utilities, and other services that create the environment for the project staff to complete their assignments. Overhead rates vary from under ten percent to 100 percent depending on the operational costs documented by the grant receivers.

Overweight – Overweight refers to increased body weight in relation to height, when compared to some standard of acceptable or desirable weight. Overweight may or may not be due to increases in body fat. It may also be due to an increase in lean muscle. For example, professional athletes may be very lean and muscular, with very little body fat, yet they may weigh more than others of the same height. While they may qualify as “overweight” due to their large muscle mass, they are not necessarily “over fat,” regardless of Body Mass Index (BMI).

Park and Open Space Land – Real property that is currently maintained for public recreational use.

Park Facilities – Improved lands or structures for recreational use on property open to the public.

Payout Requirements – The Internal Revenue Code requires that all private foundations, including corporate foundations, pay out annually in grants and contributions the equivalent of approximately 5 percent of the value of their investment asset.

Performance/Productions – Grants to cover costs specifically associated with mounting performing arts productions.

Planning Grant – Grant that funds the planning process of a program. It might, for example, support surveys to determine the scope of a program or needs it should address.

Private Foundation – A non-governmental, nonprofit organization that is established to aid social or cultural activities through the awarding of grants. It includes Corporate Foundations, Charitable Groups, Community Foundations, Individual Foundations, and Family Foundations.

Private Operation Foundation – A foundation that, although lacking general public support, devotes most of its earnings and assets directly to the conduct of its tax-exempt purposes (for example, operating a museum) rather than making grants to other organizations for these purposes.

Professorships – Grants to educational institutions to endow a professorship or chair.

Program Amount – Funds that are expended to support a particular program administered internally by a foundation or corporate giving program.

Program Contact Person – Identifies the name, title, and telephone number(s) of the agency person to be contacted for program information.

Program Development – Grants to support specific projects or programs as opposed to general-purpose grants.

Program Evaluation – Grants to evaluate a specific project or program – includes awards both to agencies to pay for evaluation costs and to research institutes and other program evaluators.

Program Grant – Grant earmarked to fund a specific project or program activity of an organization rather than for general operating expenses.

Program Officer – Staff member in a foundation or corporate contribution office who is responsible for screening grant applications, researching the organization or program

seeking funds, reviewing proposals, and making recommendations about grants, often in a particular area, to the contributions committee or board.

Program-Related Investments/Loans (PRI) – A loan made by a foundation to a nonprofit organization for a project related to the foundation’s stated purpose and interests. Program-related investments are often made from a revolving fund; the foundation generally expects to receive its money back (sometimes with a return at or below current interest rates). As in grant funding, loans or other investments (as distinguished from grants) to organizations to finance.

Program Title – Official name, which identifies the program.

Project – The acquisition, development, enhancement, restoration or other activities to be accomplished with grant funds.

Project Grant – An amount of money given to complete a specific project by a certain time. The funds are normally paid in stages as phases of the project are completed.

Project Officer – An employee of the granting agency who acts as a liaison with the applicant or grantees, administers grant funds, and ensures compliance with guidelines and grant contracts.

Project Performance Period – The period of time that the grant funds are available, the time in which all costs must be incurred, and the project is completed, billed and paid. Only eligible costs incurred during the project performance period will be paid.

Project Scope – The description or activity of work to be accomplished on the project, as described in the application form, using grant funds and the required match, as applicable.

Proposal – A written application request (in a format determined by the grant-maker) for a grant or contribution, often accompanied by supporting documents. It usually outlines why the grant is needed, the need or purpose it will serve, the plan for meeting the need or purpose, the amount of money needed, and background (general and financial) about the applicant.

Pro Rata Reduction – An equal, across-the-board reduction applied to all recipients. If sufficient funds are not available to provide a formula-determined level of funding, then a pro rata reduction may be applied. If funding is insufficient, then the funds available are prorated so all recipients will share the funding cut equally. In programs with minimum constraints, the allotment for those grant recipients not affected by the constraints are proportionately reduced in order to fund those recipients subject to a minimum allocation.

Public Charity – Charitable organizations (those designated under Section 501(c)(3) by the Internal Revenue Service) qualify as public charities, private operating foundations, or private foundations. A public charity as defined in Section 509 (identified by the Service as ‘not a private foundation’) normally receives a substantial part of its income, directly or indirectly, from the general public or from government. The public support must be fairly broad, not limited to a few individuals or families.

Public Relations Services – May include printing and duplicating, audio-visual and graphic arts services, helping to plan special events such as festivals, piggyback advertising (advertisements that mention a company while also promoting a nonprofit), and public service advertising.

Publications – Grants to fund reports or other publications issued by a nonprofit resulting from research or projects of interest to the foundation.

Purpose and Use of Assistance – Brief description of the program including specific objectives and goals, identification of financial and/or technical assistance provided, how it is used, and restrictions on how the program may and/or may not be used.

Qualifying Distributions – Expenditures of a private foundation made to satisfy its annual payout requirement. These can include grants, reasonable administrative expenses, set-asides, loans and program-related investments, and amounts paid to acquire assets used directly in carrying out tax-exempt purposes.

Regional Agencies – Governmental geographic organizations, such as the East Bay Regional Park District.

Regulatory Program – Activities of State agencies, such as licensing, permits and inspections.

Request for Proposal (RFP) – When the government issues a new contract or grant program, it sends out RFPs to agencies that might be qualified to participate. The RFP lists project specifications and application procedures. While an increasing number of foundations use RFPs in specific fields, most still prefer to consider proposals that are initiated by applicants.

Reimbursement – In some programs, the recipient must incur the program or project costs before claiming available aid.

Research – Funds to cover the costs of investigations and clinical trials, including demonstration and pilot projects. (Research grants for individuals are usually referred to as fellowships.)

Restricted Grant – Grant that is to be used for certain defined purposes or within a certain time, as determined by the grant-maker.

Scholarship Funds to Institutions – Grants to educational institutions or organizations to support a scholarship program, mainly for students at the undergraduate level; the donee institution then distributes the funds to individuals through their own programs.

Scholarships to Support a Scholarship Program – Grants to educational institution or organizations to support a scholarship program, mainly for students at the undergraduate level.

Scholarships-to Individuals – These are funds awarded directly to individuals through programs administered by the grant-maker.

Section 501(c)(3) – Internal Revenue Code section that defines exempt organizations – those organized and operated exclusively for religious, charitable, scientific, literary, educational, or similar purposes. Many foundations restrict their grant making to 501(c)(3) organizations, with the single exception of the ‘testing for public safety’ category, are deductible as charitable donations for federal income tax purposes.

Seed Money – Funds that are used to defray start-up costs of a program or project. A grant or contribution used to start a new project or organization. Seed grants may cover salaries and other operating expenses of a new project.

Set-Asides – Funds set aside by a foundation for a specific purpose or project that are counted as qualifying distributions toward the foundation’s annual payout requirement. Amounts for the project must be paid within five years of the first set-aside.

Share – Each grant recipient’s percentage share, not its dollar allotment, resulting from a formula allocation. The percentage share for each recipient, which sums to 100, is applied to the total dollar amount to be allocated, resulting in a recipient’s dollar allocation. These mathematical expressions often cannot be used to calculate a recipient’s actual dollar allocation because constraints and set-asides are not included.

Site Visit – Fact-finding visit by a representative of the granting agency to an organization that has applied for or received funding. It may also be a visit to the area(s) and institution(s) that are affected by the grant request.

Source of Funds and Aid – Identifies the funding source and source of assistance for the program or project.

Special Purpose Foundation – A private foundation that focuses its grantmaking activities in one or a few areas of interest.

Sponsorships – Endorsements of charities by corporations, or corporate contributions to charitable events.

State General Fund – Funds from taxes, court revenues, and other fees used to support the operating budget and recurring items.

State General Obligation Bond – Funds used for capital programs and construction purposes.

State Special Funds – Funds other than those designated as State General Funds.

Student Aid (Institutional Support) – Assistance in the form of educational grants, loans, or scholarships.

Student Loan to Individuals – These are loans distributed directly to individuals through programs administered by the grant-maker.

Subgrant – Awards made under the authority of another grant program.

Subgrantee – Recipient of a subgrant.

Subject Guide – Key words/phrases, popular names, or common words associated with a program's subject, general function, and categories of services. Words and phrases are those which are most familiar to the groups and individuals using the program and have a limited meaning.

Tax-Exempt – A classification granted by the Internal Revenue Service to qualified non-profit organizations that frees them from the requirement to pay taxes on their income. Private foundations, including endowed company foundations, are tax-exempt, however, they must pay a 2 percent excise tax on net investment income.

Technical Assistance – Advice and assistance provided to State agencies, local governments, and/or other organizations in completing specific tasks. Agency staff may also provide assistance for the publication and distribution of information or data of a specialized technical nature. This type of help can include fundraising assistance, budgeting and financial planning, program planning, legal advice, marketing, and other aids to management. Assistance may be offered directly by the staff of a governmental agency, foundation, or corporation, or it may be provided in the form of a grant to pay for the services of an outside consultant. As in grant funding, operational or management assistance given to nonprofit organizations, including fundraising assistance, budgeting and financial planning, legal advice and marketing.

Tenure – The applicant holds the land or other long-term interest that is satisfactory to the granting agencies.

Trustee – A foundation board member or officer who helps make decisions about how grant monies are spent. Depending on whether the foundation has paid staff, trustees may take a more or less active role in running its affairs.

Types of Aid – Non-financial assistance that a program provides, for example, technical assistance.

Types of Funds – Kinds of financial assistance that a program provides, for example, direct loans and formula grants.

Use of Facilities – May include rent-free office space for temporary periods, dining and meeting facilities, telecommunications services, mailing services, transportation services, or computer services.

Appendix D

Sample Contract Agreement

Contract Agreements can significantly differ between agencies, organizations or foundations. The samples below are completely hypothetical and are intended to show you what *may* be included. If you have questions about the specific language of a grant contract, ask your project officer for clarification.

SAMPLE
Grant Contract
(State Agency)

A. Special Provisions

B. General Provisions

1. Definitions

- A. The term “State” and used herein means the (State Agency).
- B. The term “Act” as used herein means the Appropriation for the Program.
- C. The term “Project” as used herein means the project described on page __ of this Contract.
- D. The term “Grantee” as used herein means the party described as the Grantee on page __ of this Contract.
- E. The term “Application” as used herein means the individual Application and its required attachments for grants pursuant to the enabling legislation and/or program.

2. Grant Project Execution

- A. Subject to the availability of grant moneys in the Act, State Agency hereby grants to the Grantee a sum of money (grant moneys) \$_____ in consideration of and on condition that the sum be expended in carrying out the purposes as set forth in the Description of Project on page _____ and under the terms and conditions set forth in this Contract.
- B. Grantee shall assume any obligation to furnish any additional funds that may be necessary to complete the Project. Any modification or alteration in the Project as set forth in the Application on file with the State Agency must be submitted to the State Agency for final approval.

- C. Grantee shall complete the Project in accordance with the time of Project Performance on page _____, and under the terms and conditions of this Contract.
- D. Grantee shall comply as lead agency with the California Environmental Quality Act (Public Resources Code, Section 21000, et. seq.)
- E. If the Project includes development, the Grantee shall comply with all applicable current laws and regulations effecting development projects, including, but not limited to, legal requirements for construction contracts, building codes health and safe codes, and disabled access laws.
- F. Grantee shall permit periodic site visits by the State to determine if development work is in accordance with the approved Project Scope including a final inspection upon Project completion.
- G. Grantee agrees to submit any significant deviation from the original Project Scope to the State Agency for prior approval to _____.
- H. If the Project includes acquisition of real property, the Grantee agrees to comply with all applicable state and local laws effecting real property acquisition.
- I. Grantee shall provide for public access in accordance with the intent and provisions of the enabling legislation and/or program.

3. Project Costs

The Grant moneys may be disbursed as follows:

- A. If the Project includes acquisition of real property, the State Agency may disburse to Grantee the grant moneys as follows, but not to exceed in any event _____.
 - 1) When acquisition is through negotiated purchase, State Agency may disburse the amount of the State Agency approved purchase price together with State Agency approved costs of acquisition when an escrow is opened.
 - 2) When acquisition is allowed pursuant to this Act through proceedings in eminent domain, State Agency may disburse the amount of the total award as provided for in the final order of condemnation together with State Agency approved costs of
 - 3) acquisition.
 - 4) In the event Grantee abandons such eminent domain proceedings, Grantee shall bear all costs in connection therewith and that no grant moneys shall be disbursed for such costs.
- B. If the Project includes development, the State Agency may disburse to Grantee the grant moneys as follows.
 - 1) Up to _____ percent of the total grant for preliminary costs.

- 2) On proof of award of a construction contract or commencement of construction by force account, up to _____ percent of the total grant, or the actual cost, whichever is less.
- 3) Remaining grant funds shall be paid up to the amount of the Grant or the actual Project cost, whichever is less, on completion of the Project and receipt of a detailed summary of Project costs from the Grantee.
4. Project Administration
 - A. Grantee shall promptly submit such reports as the State Agency may request.
Grantee shall provide State Agency a report showing total final Project expenditures.
 - A. Grantee shall make State Agency acquired or developed pursuant to this Contract available for inspection upon request by the State Agency.
 - B. Grantee shall use any moneys advanced by the State Agency under the terms of this Contract solely for the Project herein described.
 - C. If grant moneys are advanced, the Grantee shall place moneys in a separate interest bearing account, setting up and identifying such account prior to the advance, interest earned on grant moneys shall be used on the Project or paid to the State Agency. If grant moneys are advanced and not expended, the unused portion of the Grant shall be returned to the State Agency within _____ days of completion of the Project or end of the Project Performance Period, whichever is earlier.
 - D. Grantee shall use income earned by the Grantee from use of the Project to further Project purposes, or, if approved by the State Agency for related purposes within the Grantee's jurisdiction.

5. Project Termination

- A. Grantee may unilaterally rescind this Contract at any time prior to the commencement of the Project. After Project commencement this Contract may be rescinded, modified or amended by mutual agreement in writing.
- B. Failure by the Grantee to comply with the terms of this Contract or any other Contract under the Act may be cause for suspension of all obligations of the State Agency hereunder.
- C. Failure of the Grantee to comply with the terms of this Contract shall not be cause for the suspension of all obligations of the State Agency hereunder if in the judgment of the State Agency such failure was due to no fault of the Grantee. In such case, any amount required to settle at minimum cost any irrevocable obligations properly incurred shall be eligible for reimbursement under this Contract.
- D. Grantee and State Agency agree that if the Project includes development, final payment may not be made until the Project conforms substantially to this Contract.

6. Hold Harmless

- A. Grantee shall waive all claims and recourse against the State Agency including the right to contribution for loss or damage to persons or property arising from, growing out of or in any way connected with or incident to this Contract except claims arising from the concurrent or sole negligence of State Agency its officers, agents, and employees.
- B. Grantee shall indemnify, hold harmless and defend State Agency, its officers, agents and employees against any and all claims demands, damages, costs, expenses or liability costs arising out of the acquisition, development, construction, operation or maintenance of the property described as the Project which claims, demands or causes of action arise under Government Code Section _____ or otherwise except for liability arising out of the concurrent or sole negligence of State Agency its officers, agents, or employees.
1. Grantee agrees that in the event State Agency is named as codefendant under the provisions of Government Code Section _____ et seq., the Grantee shall notify State Agency of such fact and shall represent State Agency in the legal action unless _____.
 2. _____ undertakes to represent itself as codefendant in such legal action in which event State Agency shall bear its own litigation costs, expenses, and attorney's fees.
 3. Grantee and State Agency agree that in the event of judgment entered against the State Agency and Grantee because of the concurrent negligence of the _____ and Grantee, their officers, agents, or employees, an apportionment of liability to pay such judgment shall be made by a court of competent jurisdiction. Neither party shall request a jury apportionment.
 4. Grantee shall indemnify, hold harmless and defend the State Agency its officers, agents and employees against any and all claims, demands, costs, expenses or liability costs arising out of legal actions pursuant to items to which the Grantee has certified. Grantee acknowledges that it is solely responsible for compliance with items to which it has certified.

7. Financial Records

- A. Grantee shall maintain satisfactory financial accounts, documents and records for the Project and to make them available to the State Agency for auditing at reasonable times. Grantee also agrees to retain such financial accounts, documents and records for three years following project termination or completion.
- B. Grantee and State Agency agree that during regular office hours each of the parties hereto and their duly authorized representatives shall have the right to inspect and make copies of any books, records or reports of the other party pertaining to this Contract or matters

related thereto. Grantee shall maintain and make available for inspection by the State Agency accurate records of all of its costs, disbursements and receipts with respect to its activities under this Contract.

C. Grantee shall use a generally accepted accounting system.

8. Use of Facilities

A. Grantee agrees that the Grantee shall use the property acquired or developed with grant moneys under this Contract only for the purposes for which the State Agency grant moneys were requested and no other use of the area shall be permitted except by specific act of the _____.

9. Nondiscrimination

A. The Grantee shall not discriminate against any person on the basis of sex, race, color, national origin, age, religion, ancestry, or physical handicap in the use of any property or facility acquired or developed pursuant to this Contract.

B. The Grantee shall not discriminate against any person on the basis of residence except to the extent that reasonable differences in admission or other fees may be maintained on the basis of resident and pursuant to law.

C. All facilities shall be open to members of the public generally, except as noted under the special provisions of this Project Contract or under provisions of the enabling legislation and/or program.

10. Application Incorporation

A. The Application and any subsequent change or addition approved by the State Agency is hereby incorporated in this Contract as though set forth in full in this Contract.

11. Severability

A. If any provision of this Contract or the application thereof is held invalid, that invalidity shall not affect other provisions or applications of the Contract which can be given effect without the invalid provision or application, and to this end the provisions of this Contract are severable

CA DEPARTMENT OF (STATE AGENCY)

GRANT CONTRACT

SAMPLE GRANT PROGRAM

GRANTEE

PROJECT TITLE _____ PROJECT
NUMBER _____

TERM OF CONTRACT is from _____ through

Under the terms and conditions of this agreement, the applicant agrees to complete the project as described in the project description, and the State of California, acting through its Director pursuant to the program named above, agrees to fund the project up to the total grant amount indicated.

PROJECT SUMMARY:

Total Grant Amount \$ _____

The General and Special Provisions attached are made a part of and incorporated into the Contract.

Grantee

By _____
(Name of Authorized Representative)

STATE OF CALIFORNIA
(STATE AGENCY)

(Signature of Authorized Representative) By _____
Title

Date

_____ Date _____

CERTIFICATION OF FUNDING STATE AGENCY USE ONLY)

AMOUNT OF ESTIMATE \$		CONTRACT NUMBER			
		APPROPRIATION			
		AGENCY NUMBER			
UNENCUMBERED BALANCE \$		LINE ITEM ALLOTMENT		FISCAL YEAR	
T.B.A. NO.	B.R. NO.	INDEX	PCA	OBJ.	EXPEND
I hereby certify upon my personal knowledge that budgeted funds are available for this encumbrance.					
SIGNATURE OF AUTHORIZED AGENT			DATE		

Appendix E

Sample Payment Request Form

State of California (State Agency) Grant Programs

See Instructions on reverse

1 PROJECT NUMBER		2 CONTRACT NUMBER	
3 GRANTEE			
4 PROJECT TITLE			
5 TYPE OF PAYMENT			
ADVANCE <input type="checkbox"/>		REIMBURSEMENT <input type="checkbox"/>	FINAL <input type="checkbox"/>
6 PAYMENT INFORMATION (ROUND ALL FIGURES TO THE NEAREST DOLLAR)			
(a) State Agency Grant Amount		\$	
(b) Funds Received to Date		\$	
(c) Funds Available		\$	
(d) Amount of This Request		\$	
(e) Remaining Funds After This Payment (c. minus d.)		\$	
7 SEND WARRANT TO:			
GRANTEE NAME			
STREET ADDRESS			
CITY, STATE, ZIP CODE			
ATTENTION			
8 TYPED OR PRINTED NAME OF PERSON AUTHORIZED IN RESOLUTION		TITLE	DATE
9 SIGNATURE OF PERSON AUTHORIZED IN RESOLUTION			
PAYMENT APPROVAL SIGNATURE			DATE

Appendix F

Sample Evaluation and Proposal Rating Criteria

1. Significance of Problem

- Does the proposed project directly address an identified need or significant problem?
- Does the proposed project have potential for meeting the identified need or for significantly impacting the problem?
- Is there sufficient data and information to support the existence of the problem and its magnitude?
- Is this, or should this be, an area of primary concern?
- Do investigators display an in-depth awareness of the problem and its historical roots?
- Are investigators well informed about the nature and results of previous attempts to resolve the problem or meet identified needs?

2. Merit of Technical Approach and Work Plan

- Does the proposal address a priority concern and is it responsive to the RFP?
- Does the proposal demonstrate the capability of performing high quality work and activity?
- Will the results be usable by others?
- Will this information be presented in an effective and original manner

3. Organization and Management

- Is the management approach feasible and sound?
- Are program timetables, plans, milestones, etc. clearly set and are end products well defined?
- Is the intended work compatible with the budget?
- Are barriers to project success anticipated and identified and are strategies to overcome them suggested?

- Are there sound procedures for project evaluation?
- Are the credentials of the principals relevant to the proposed activities, and do they have a past record of success?
- Are the team leaders experienced in working together?
- Does the host organization fully support the project, and will it offer the needed resources?
- Does the host organization have a record of good management and fiscal control and is it capable of meeting deadlines?